

**RECEIVED**  
**CENTRAL FAX CENTER**

**JUN 29 2005**

**PROSKAUER ROSE LLP**

1585 Broadway  
 New York, NY 10036-8299  
 Telephone 212.969.3000  
 Fax 212.969.2900

LOS ANGELES  
 WASHINGTON  
 BOSTON  
 BOCA RATON  
 NEWARK  
 NEW ORLEANS  
 PARIS

Date June 29, 2005 Client-Matter 74622-034

Total Pages (Including Cover) 3

From John C. Stellabotte

Sender's Voice Number 212.969.3413

**Fax Transmittal**

Sender's Room Number 17-44

Sender's Email Address jstellabotte@proskauer.com

Main Fax Number 212.969.2900

To: Examiner: Vincent A. Millin

Fax No.: 703-872-8306

Company: United States Patent and Trademark Office - Group A Unit 9624 Voice No.: (571) 272-6141

**Message**

Re: Inventor : Janet Horn, et al.  
 Serial No. : 10/026,747  
 Filing Date : December 20, 2001  
 Title : SYSTEM AND METHOD FOR FACILITATING SECURITIES  
 BORROWING TRANSACTIONS  
 Att'y Docket : 74622-034

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

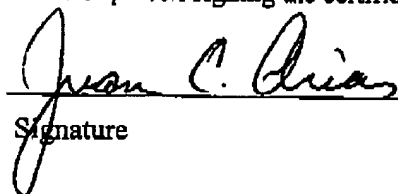
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

**FACSIMILE TRANSMISSION CERTIFICATE**

I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification



June 29, 2005

Signature

Date

**Confidentiality Note:** This message is confidential and intended only for the use of the addressee(s) named above. It may contain legally privileged material. Dissemination, distribution or copying of this message, other than by such addressee(s), is strictly prohibited. If you have received this message in error, please immediately notify us by telephone and return the original to us at the address above. We will reimburse you for the cost of the telephone call and postage. Thank you.

PTO/SB/01 (05-04)

Approved for Use Through 11/30/2005, CMB 0891-0035

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM

Application Number	10/026,747
Filing Date	December 20, 2001
First Named Inventor	Janet Horn
Title	SYSTEM AND METHOD FOR FACILITATING SECURITIES BORROWING TRANSACTIONS
Art Unit	3624
Examiner Name	Vincent A. Millin
Attorney Docket Number	74822-0034

I hereby appoint:

☒ Practitioners associated with the Customer Number:

21890

OR:

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

21890

☐ Firm or Individual Name

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/05)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	6-22-05
Name	Gregg L. Goldman	Telephone	203.719.3090
Title and Company	Director and Senior Counsel, USS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ \*Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

If you need assistance in completing this form, call 1-800-PTO-0199 and select option 2

PTO/SB/06 (09-04)

Approved for use through 07/31/2008. OMB 0051-0031  
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

## STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Janet Horn, et al.Application No./Patent No.: 10/026,747 Filed/Issue Date: December 20, 2001Entitled: **SYSTEM AND METHOD FOR FACILITATING SECURITIES BORROWING TRANSACTIONS**UBS Financial Services, Inc., a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

In the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Janet Horn, et al. To: UBS Patnewobber, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel 012416, Frame 0803, or for which a copy thereof is attached.
2. From: UBS Patnewobber, Inc. To: UBS Financial Services, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel 014467, Frame 0783, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Gregg I. Goldman  
SignatureGregg I. Goldman  
Printed or Typed NameDirector and Senior Counsel, UBS Financial Services, Inc.  
Title6-22-05  
Date203.719.3088  
Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to be derived by the USPTO in processing an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-0199 and select option 2.